

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Charles S. Johnson et al.

Confirmation No.:

Application No.: Unknown

Examiner: Unknown

Filing Date: Herewith

Group Art Unit: Unk.

Title: TRANSACTION PROCESSING APPARATUS AND METHOD

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (X) under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- () under 37 CFR 1.97(c) together with either a:
() Statement under 37 CFR 1.97(e), or
() a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- () under 37 CFR 1.97 (d) together with a:
() Statement under 37 CFR 1.97(e)(1) or (2), and
() a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

() A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. **EV 319596781 US**

Date of Deposit **Feb. 6, 2004**

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.


By

Typed Name: **Kalyn Black**

Respectfully submitted,

Charles S. Johnson et al.

By


Guy K. Clinger, Esq.
Attorney/Agent for Applicant(s)
Reg. No. **42,422**

Date: **Feb. 6, 2004**

PATENT APPLICATION

Sheet 1 of 2

FORM PTO-1449

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

200302554-1

APPLICATION NO.

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Charles S. Johnson et al.

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GROUP

Unk.**REFERENCE DESIGNATION****U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	6,338,146	Jan. 8, 2002	Johnson et al.	
	1B				
	1C				
	1D				
	1E				
	1F				
	1G				
	1H				
	1I				
	1J				
	1K				

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	U.S. Patent Application Serial No. 09/872,323 filed June 1, 2001, entitled "System and Method for Replication of Distributed Databases that Span Multiple Primary Nodes"
	1R	U.S. Patent Application Serial No. 10/095,996 filed March 8, 2002, entitled "Using Process Quads to Enable Continuous Services in a Cluster Environment" of Gunnar D. Tapper et al.
	1S	U.S. Patent Application Serial No. 10/435,115 filed May 9, 2003, entitled "Minimum Latency Reinsatement of Database Transaction Duration Locks From the Log for Fast Crash Recovery of Databases" of Charles S. Johnson et al.

EXAMINER

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	2A				
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	2L					
	2M					
	2N					
	2O					
	2P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	"Concurrency Control And Recovery In Database Systems," 1987, pages 168-171, by Philip A. Bernstein, Vassos Hadzilacos and Nathan Goodman
2R	"Transaction Processing: Concepts And Techniques," 1993, pages 5-22, 109-121, 562-573, by Jim Gray and Andreas Reuter
2S	

EXAMINER

DATE CONSIDERED